

| | | | | | |
|---|--|----------------------|--------------|-------------------------------|---|
| FORM PTO-1449/A and B (Modified) | | | | APPLICATION NO.: 10/035,966 | ATTY. DOCKET NO.: NO 0389/70006 |
| INFORMATION DISCLOSURE STATEMENT BY APPLICANT | | | | FILING DATE: November 9, 2001 | RECEIVED Technology Center 2100 APR 17 2002 |
| APR 12 2002 | | | | APPLICANT: Burakoff et al. | |
| Sheet 1 of 2 | | GROUP ART UNIT: 2151 | EXAMINER: -- | | |

U.S. PATENT DOCUMENTS

| Examiner's Initials# | Cite No. | U.S. Patent Document | | Name of Patentee or Applicant of Cited Document | Date of Publication or of issue of Cited Document MM-DD-YYYY |
|----------------------|----------|----------------------|-----------|---|--|
| | | Number | Kind Code | | |
| SC | 1 | 5,270,922 | | Higgins | 12-14-1993 |
| | 2 | 5,315,634 | | Tanaka et al. | 05-24-1994 |
| | 3 | 5,457,746 | | Dolphin | 10-10-1995 |
| | 4 | 5,502,637 | | Beaulieu et al. | 03-26-1996 |
| | 5 | 5,513,126 | | Harkins et al. | 04-30-1996 |
| | 6 | 5,590,325 | | Kolton et al. | 12-31-1996 |
| | 7 | 5,689,650 | | McClelland et al. | 11-18-1997 |
| | 8 | 5,790,790 | | Smith et al. | 08-04-1998 |
| | 9 | 5,819,271 | | Mahoney et al. | 10-06-1998 |
| | 10 | 5,864,871 | | Kitain et al. | 01-26-1999 |
| | 11 | 5,893,079 | | Cwenar | 04-06-1999 |
| | 12 | 5,918,218 | | Harris et al. | 06-29-1999 |
| | 13 | 5,926,792 | | Koppes et al. | 07-20-1999 |
| | 14 | 6,122,635 | | Burakoff et al. | 09-19-2000 |
| SC | 15 | 6,192,407 | B1 | Smith et al. | 02-20-2001 |

RECEIVED

GROUP 3600

FOREIGN PATENT DOCUMENTS

| Examiner's Initials# | Cite No. | Foreign Patent Document | | | Name of Patentee or Applicant of Cited Document (not necessary) | Date of Publication of Cited Document MM-DD-YYYY | Translation (Y/N) |
|----------------------|----------|-------------------------|----------|-----------|---|--|-------------------|
| | | Office/ Country | Number | Kind Code | | | |
| SC | 16 | WO | 96/18963 | A1 | FS Holdings, Inc. | 06-20-1996 | Y |
| SC | 17 | WO | 97/15018 | A1 | Bell Communications Research, Inc. | 04-24-1997 | Y |
| SC | 18 | WO | 98/07085 | A1 | Ben Smith, Inc. | 02-19-1998 | Y |
| SC | 19 | WO | 98/26386 | A1 | Maschoff, Kurt M. | 06-18-1998 | Y |
| SC | 20 | WO | 98/33131 | A1 | Multex Systems, Inc. | 07-30-1998 | Y |
| SC | 21 | WO | 99/22327 | A1 | Penware, Inc. | 05-06-1999 | Y |
| SC | 22 | WO | 99/41688 | A1 | Newriver Investor Communications, Inc. | 08-19-1999 | Y |
| SC | 23 | WO | 99/41689 | A1 | Newriver Investor Communications, Inc. | 08-19-1999 | Y |

OTHER ART — NON PATENT LITERATURE DOCUMENTS

| Examiner's Initials# | Cite No. | Include name of the author (in CAPITAL LETTERS) title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, relevant page(s), volume-issue number(s), publisher, city and/or country where published. | Translation (Y/N) |
|----------------------|----------|--|-------------------|
| SC | 24 | Bolton, D.W. et al. "Receipt of Solicited and Unsolicited Documents in a Distributed Communication System. October 1980." IBM Technical Disclosure Bulletin, Vol. 23, No. 5, October 1980, pp. 2129-2134, pgs. 1-6. | |
| SC | 25 | Information on Travelers Life & Annuity Company's Universal Annuity products including packaging for shipping a 3.5 inch computer diskette containing InUnity Corporation's technology (8 pp), and including an article dated 5/97 that announces a program related to the Travelers Universal Annuity products and that identifies InUnity Corporation as providing the technological support for the program (2 pp). | |
| SC | 26 | Electronic Data Gathering, Analysis, and Retrieval (EDGAR) — EDGAR Filer Manual: Guide for Electronic Filing with the U.S. Securities and Exchange Commission" by U.S. Securities and Exchange Commission, | |

| | | | | | |
|---|--|----------------------|--|-------------------------------|--------------------------------|
| FORM PTO-1449/A and B (Modified) | | | | APPLICATION NO.: 10/035,966 | ATTY. DOCKET NO.: N00389/70006 |
| INFORMATION DISCLOSURE STATEMENT BY APPLICANT | | | | FILING DATE: November 9, 2001 | RECEIVED APR 17 2002 |
| APR 12 2002 | | | | APPLICANT: Burakoff et al. | Technology Center 2100 |
| Sheet 2 of 2 | | GROUP ART UNIT: 2151 | | EXAMINER: | |

| | | | |
|----|----|--|--|
| | | Washington, D.C., EDGAR Release 5.30, 8/97 | |
| SC | 27 | "Filing EDGAR - Reference Guide for EDGAR Filers" by RR Donnelley Financial, January 1997, pp. 3-30, Appendix A, Appendix B, Appendix C and Appendix D | |
| SC | 28 | InUnity Corporation Web Site (www.unity.com), 19 pages printed on January 21, 1998 | |
| SC | 29 | InUnity Corporation's Products and Services, 11 pp, September 1997 | |
| SC | 30 | InUnity Corporation's Corporate Overview, 12 pp, May 1997 | |
| SC | 31 | "The Fund Profile - A White Paper" by Robert A. Fein of InUnity Corporation, 13 pp, April 1997 | |
| SC | 32 | CUSIP Web Site (www.cusip.com), 13 pages printed on February 7, 1998 | |
| SC | 33 | Information on ReliaStar Life Insurance Company's Select*Life products including packaging dated September 1997 for Shipping a 3.5 inch computer diskette containing InUnity Corporation's technology (4 pages), and including an article dated November 24, 1997 that announces the availability of digital prospectuses for the Select*Life products and that identifies InUnity Corporation as the developer of the technology (2 pp) | |
| SC | 34 | PricewaterhouseCoopers Technology Centre, EdgarScan, An Intelligent Interface to the SEC EDGAR Database, 1999 PricewaterhouseCoopers, 2 pp. | |
| SC | 35 | Edgarscan Beta Release (fwd), Sept. 8, 1996, 2 pp. | |
| SC | 36 | "Global Securities Information Home Page, " http://www.gsionline.com 9 pp. | |
| SC | 37 | "LLRX-A Comparison of SEC Filing Sources," (www.llrx.com/features/sec.htm), May 22, 1997, 5 pp | |
| SC | 38 | Horan, Thomas F.; "Electronic Bill Presentment and Payment: The Next Step for the E-Commerce Market; pp. 10-20; The Journal of Electronic Commerce | |
| SC | 39 | Ferguson, D., "Parsing Financial Statements Efficiently and Accurately Using C And Prolog", Proceedings of the Fifth International Conference on the Practical Application of Prolog, Proceedings FO PAP97. Practical Application of Prolog. Fifth International Conference London, UK, April 22-24, 1997, pp 157-167 | |

| | |
|---------------------|-----------------|
| EXAMINER | DATE CONSIDERED |
| <i>Dave Charles</i> | 8/17/02 |

#EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

*a copy of this reference is not provided as it was previously cited by or submitted to the office in a prior application, Serial No. _____, filed _____, and relied upon for an earlier filing date under 35 U.S.C. 120 (continuation, continuation-in-part, and divisional applications).

[NOTE - Must provide a copy of any patent, publication, other information listed, even if it was previously submitted to, or cited by, the U.S. Patent Office in an earlier application, unless the earlier application is identified by the IDS and is relied upon for an earlier filing date under 35 U.S.C. §120, and the copy was provided in the earlier application.]

RECEIVED
JUN 10 2002
GROUP 3600